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PTO/SB/05 (4/98)  
Approved for use through 09/30/2000. OMB 0651-0032  
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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))	Attorney Docket No.	4952.US.C1
	First Inventor or Application Identifier	L. Katz
	Title	See 1 in Addendum
	Express Mail Label No.	EL507389270US

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing) 2. <input checked="" type="checkbox"/> Specification [Total Pages <u>90</u> ] (preferred arrangement set forth below) - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>44</u> ] 4. Oath or Declaration [Total Pages <u>4</u> ] a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed) i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).	5. <input type="checkbox"/> Microfiche Computer Program (Appendix) 6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy b. <input checked="" type="checkbox"/> Paper Copy (identical to computer copy) c. <input checked="" type="checkbox"/> Statement verifying identity of above copies
<b>ACCOMPANYING APPLICATION PARTS</b> 7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee) 9. <input type="checkbox"/> English Translation Document (if applicable) 10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 11. <input checked="" type="checkbox"/> Preliminary Amendment 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 13. <input type="checkbox"/> * Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application (PTO/SB/09-12) Status still proper and desired 14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 15. <input checked="" type="checkbox"/> Other: <u>See 2 in Addendum</u>	
<b>NOTE FOR ITEMS 1 &amp; 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).</b>	

16. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment.

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No 08/997,467

Prior application information. Examiner W. Moore Group / Art Unit 1652

**For CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**

☐ Customer Number or Bar Code Label: \_\_\_\_\_ or ☐ Correspondence address below

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Name (Print/Type)	Dianne Casuto	Registration No. (Attorney/Agent)	40,943
Signature	<i>Dianne Casuto</i>	Date	December 11, 2000

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

## Addendum

1. NOVEL POLYKETIDE DERIVATIVES AND RECOMBINANT METHODS FOR MAKING SAME
2. - Request to Use Computer Readable Form from a Priority Application

12-13-00

A

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# FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1  
These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§1.27 and 1.28

TOTAL AMOUNT OF PAYMENT (\$) 836.00

## Complete if Known

Application Number  
Filing Date December 11, 2000  
First Named Inventor L. Katz  
Examiner Name (not yet assigned)  
Group / Art Unit (not yet assigned)  
Attorney Docket No. 4952.US.C1

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 01-0025  
Deposit Account Name Abbott Laboratories

- ☒ Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17  
☐ Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance

2. ☐ Payment Enclosed:  
☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101 790 201 395	Utility filing fee	710.00	
106 330 206 165	Design filing fee		
107 540 207 270	Plant filing fee		
108 790 208 395	Reissue filing fee		
114 150 214 75	Provisional filing fee		
SUBTOTAL (1)			(\$ 760.00)

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
27	-20** = 7	18.00	126.00
1	-3** = 0	80.00	00.00
Multiple Dependent			

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103 22 203 11	Claims in excess of 20	
102 82 202 41	Independent claims in excess of 3	
104 270 204 135	Multiple dependent claim, if not paid	
109 82 209 41	** Reissue independent claims over original patent	
110 22 210 11	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2) (\$ 126.00)		

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105 130 205 65	Surcharge - late filing fee or oath		
127 50 227 25	Surcharge - late provisional filing fee or cover sheet		
139 130 139 130	Non-English specification		
147 2,520 147 2,520	For filing a request for reexamination		
112 920* 112 920*	Requesting publication of SIR prior to Examiner action		
113 1,840* 113 1,840*	Requesting publication of SIR after Examiner action		
115 110 215 55	Extension for reply within first month		
116 400 216 200	Extension for reply within second month		
117 950 217 475	Extension for reply within third month		
118 1,510 218 755	Extension for reply within fourth month		
128 2,060 228 1,030	Extension for reply within fifth month		
119 310 219 155	Notice of Appeal		
120 310 220 155	Filing a brief in support of an appeal		
121 270 221 135	Request for oral hearing		
138 1,510 138 1,510	Petition to institute a public use proceeding		
140 110 240 55	Petition to revive - unavoidable		
141 1,320 241 660	Petition to revive - unintentional		
142 1,320 242 660	Utility issue fee (or reissue)		
143 450 243 225	Design issue fee		
144 670 244 335	Plant issue fee		
122 130 122 130	Petitions to the Commissioner		
123 50 123 50	Petitions related to provisional applications		
126 240 126 240	Submission of Information Disclosure Stmt		
581 40 581 40	Recording each patent assignment per property (times number of properties)		
146 790 246 395	Filing a submission after final rejection (37 CFR 1.129(a))		
149 790 249 395	For each additional invention to be examined (37 CFR 1.129(b))		

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0)

## SUBMITTED BY

Typed or Printed Name Dianne Casuto

Signature *Dianne Casuto*

Date December 11, 2000

## Complete (if applicable)

Reg. Number 40,943

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: L. Katz,, *et al.*

Serial No.:

Group No.:

Filed: December 11, 2000

Examiner:

For: NOVEL POLYKETIDE DERIVATIVES AND RECOMBINANT METHODS FOR MAKING SAME

**Box Patent Application**

**Assistant Commissioner for Patents**

**Washington, D.C. 20231**

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EL507389270US

Date of Deposit: December 11, 2000

I hereby state that the following *attached* paper or fee

Utility Patent Application Transmittal – 2 pgs.

Fee Transmittal, - 1 pg. (in duplicate)

Preliminary Amendment – 6 pgs.

Specification (67 pages); Claims (8 pages); Abstract (1 page); **Total: 76**

Drawings – 44 pgs.;

Copy of Executed Declaration and Power of Attorney - 3 pages

Paper Copy of Sequence Listing – pgs. 68 through 81 = 14 pgs.

Statement to Support Filings and Submission in Accordance with 37 CFR 1.821 through 1.825 – 1 pg.

Request to Use Computer Readable Form from a Priority Application – 1 pg.

Two Return-Receipt Postcards

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, on the date indicated above and is addressed to the Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

Wanda E. Smith



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